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## Fault Tolerant Control - A Residual based Set-up

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**Abstract**—A new set-up for fault tolerant control (FTC) for stable systems is presented in this paper. The new set-up is based on a simple implementation of the Youla-Jabr-Bongiorno-Kucera (YJBK) parameterization. This implementation of the YJBK parameterization will allow a direct and simple reconfiguration of the feedback controller. Another central part of fault tolerant control is fault diagnosis. The controller implementation can be applied directly in connection with both passive diagnosis (PFD) as well as with active fault diagnosis (AFD). The presented FTC set-up is investigated with respect to sensor reconfiguration. Actuator reconfiguration can be dealt with in a similar way.

### I. INTRODUCTION

Fault tolerant control (FTC) has become an important area in the last years due to the increasing system complexity. It is important to be able to handle faults in controlled systems - and in a systematic way such that major accidents can be avoided. One of the drawbacks in feedback control is that the effects from a fault, somewhere in the closed loop system, might not be removed from the loop. Furthermore, in many cases, the effect will be amplified through the loop with a major reduction of the performance of the system as the results. In other cases, the closed loop systems will be unstable when faults occur in the loop.

In general, a fault tolerant controller is made up of mainly two parts, a diagnosis part and a controller reconfiguration part. A number of different concepts for FTC has been considered, see e.g. [4], [14], [21].

The focus in this paper is on the application of the YJBK parameterization in connection with FTC. An FTC architecture based on the original implementation of the YJBK parameterization was presented in [14]. One of the advantages in this architecture is that the controller is reconfigured through the YJBK transfer function. In connection with the analysis and design of FTC, this will allow us to use the results from the YJBK and the dual YJBK parameterization. Another important issue with the presented FTC architecture in [14] is the nominal feedback controller is not changed in connection with a reconfiguration. The controller is modified by an additional feedback loop designed with respect to the detected and diagnosed fault.

One of the drawbacks by using the standard implementation of the YJBK parameterization ([1], [2], [5], [19], [20]) as the basis for an FTC architecture is the complexity in the controller switching. A switch from a controller of the same order as the system will in general require a YJBK transfer function of three times the order of the nominal controller, [16]. A new implementation of the YJBK parameterization described in [12] will be the basic for a new FTC architecture. The new implementation of the YJBK parameterization has a more simple structure than the original/standard implementation. This will allow a more simple way to switch between different controllers through the YJBK transfer function. This new controller implementation exists in two versions as in the original implementation, [5]. Both versions of the new implementations have a structure that includes a residual vector. These residual vectors are used for an internal feedback in the controllers. Further, these residual vectors are also used directly in connection with the fault diagnosis in the FTC architecture. In the original implementation of the YJBK parameterization, only one of the versions include a residual vector can be applied in connection with fault diagnosis. It will therefore only be possible to get one FTC architecture based on the original implementation of the YJBK parameterization.

In this paper, the new FTC architecture will be based on the dual version of the implementation of the YJBK parameterization. It will be shown how it is possible to obtain both passive and active fault diagnosis and also controller reconfiguration based on the same set of input and output vectors.

Another relevant aspect in relation with FTC is the possibility to change sensors and actuators in connection with controller reconfiguration. When a fault has occurred in the system, it will in many cases be relevant to let the reconfigured controller use another set of actuators and sensors than the nominal controller. It is then possible to use more reliable actuators and sensors in the faulty case than in the fault free case. The case of changing sensors in connection with controller reconfiguration has been considered in the last part of the paper. The derived results can be extended to the general case where also actuator changes.

The rest of this paper is organized as follows. Some preliminary results are given in Section II. Implementation of controllers are considered in Section III followed by fault diagnosis in Section IV. The FTC implementation is described in Section V. Change of sensors in connection with controller reconfiguration is considered in Section VI. The paper is closed by a Conclusion in Section VII.

## II. PRELIMINARY RESULTS

### A. System set-up

The system set-up is shortly introduced in the following. Let a general continuous-time stable MIMO system be given by:

$$\Sigma_P : \begin{cases} e = G_{ed}(\theta)d + G_{eu}(\theta)u \\ y = G_{yd}(\theta)d + G_{yu}(\theta)u \end{cases} \quad (1)$$

where  $d \in \mathcal{R}^r$  is a disturbance signal vector,  $u \in \mathcal{R}^m$  the control input signal vector,  $e \in \mathcal{R}^q$  is the external output signal vector to be controlled and  $y \in \mathcal{R}^p$  is the measurement vector. The system description in (1) may depend on a number ( $k$ ) of parameters. Let  $\theta_i$ ,  $i = 1, \dots, k$  denote the parametric deviations away from the nominal values, i.e.  $\theta_i = 0$ ,  $i = 1, \dots, k$  in the nominal case. Let us for short arrange the deviations in a vector:

$$\theta = (\theta_1, \dots, \theta_i, \dots, \theta_k)^T$$

Furthermore, let

$$\theta_i = (0, \dots, \theta_i, \dots, 0)^T$$

which represent the situation with a fault or change in precisely one parameter. In many cases it will be possible to give an explicit expression of the connection between the system and the parametric faults (see [9], [10]).

Let the system be controlled by a stabilizing feedback controller given by:

$$\Sigma_C : \{ u = Ky \} \quad (2)$$

### B. Coprime factorization

Let a coprime factorization of the system  $G_{yu}$  from (1) and the stabilizing controller  $K$  from (2) be given by:

$$\begin{aligned} G_{yu} &= N_0 M_0^{-1} = \tilde{M}_0^{-1} \tilde{N}_0, \quad N_0, M_0, \tilde{N}_0, \tilde{M}_0 \in \mathcal{R} \mathcal{H}_\infty \\ K &= UV^{-1} = \tilde{V}^{-1} \tilde{U}, \quad U, V, \tilde{U}, \tilde{V} \in \mathcal{R} \mathcal{H}_\infty \end{aligned} \quad (3)$$

The stability condition gives that:

$$(\tilde{V} M_0 - \tilde{U} N_0)^{-1} = Z \in \mathcal{R} \mathcal{H}_\infty \quad (4)$$

or

$$(\tilde{V} M_0 Z - \tilde{U} N_0 Z) = (\tilde{V} M - \tilde{U} N) = I$$

where the related right coprime factorization of  $G_{yu}$  is given by:

$$G_{yu} = (N_0 Z)(M_0 Z)^{-1} = NM^{-1}, N, M, Z \in \mathcal{R} \mathcal{H}_\infty \quad (5)$$

Equivalent for the left coprime factorization of  $G_{yu}$  is given by:

$$G_{yu} = (\tilde{Z} \tilde{M}_0)^{-1} (\tilde{Z} \tilde{N}_0) = \tilde{M}^{-1} (\tilde{N}), \tilde{N}, \tilde{M}, \tilde{Z} \in \mathcal{R} \mathcal{H}_\infty \quad (6)$$

where  $\tilde{N}$  and  $\tilde{M}$  will satisfy:

$$(-\tilde{Z} \tilde{N}_0 U + \tilde{Z} \tilde{M}_0 V) = (-\tilde{N} U + \tilde{M} V) = I \quad (7)$$

The eight matrices  $N$ ,  $M$ ,  $\tilde{N}$ ,  $\tilde{M}$ ,  $U$ ,  $V$ ,  $\tilde{U}$  and  $\tilde{V}$  from (3), (5) and (6) will satisfy the double Bezout equation given by, see [19]:

$$\begin{aligned} \begin{pmatrix} I & 0 \\ 0 & I \end{pmatrix} &= \begin{pmatrix} \tilde{V} & -\tilde{U} \\ -\tilde{N} & \tilde{M} \end{pmatrix} \begin{pmatrix} M & U \\ N & V \end{pmatrix} \\ &= \begin{pmatrix} M & U \\ N & V \end{pmatrix} \begin{pmatrix} \tilde{V} & -\tilde{U} \\ -\tilde{N} & \tilde{M} \end{pmatrix} \end{aligned} \quad (8)$$

Further,  $Z$  and  $\tilde{Z}$  are given by:

$$\begin{aligned} Z &= M_0^{-1} M \in \mathcal{R} \mathcal{H}_\infty \\ \tilde{Z} &= \tilde{M} \tilde{M}_0^{-1} \in \mathcal{R} \mathcal{H}_\infty \end{aligned} \quad (9)$$

### C. The YJBK Parameterization

With the previous mentioned coprime factorization of the system  $G_{yu}$  and the controller  $K$ , we can give a parameterization of all controllers that stabilize the system in terms of a stable transfer function  $Q$ , i.e. all stabilizing controllers are given by using a right factored form [19]:

$$K(Q) = (U + MQ)(V + NQ)^{-1}, Q \in \mathcal{R} \mathcal{H}_\infty \quad (10)$$

or by using a left factored form:

$$K(Q) = (\tilde{V} + Q\tilde{N})^{-1} (\tilde{U} + Q\tilde{M}), Q \in \mathcal{R} \mathcal{H}_\infty \quad (11)$$

Using the Bezout equation, the controller given either by (10) or by (11) can be realized as an LFT (linear fractional transformation) in the parameter  $Q$ :

$$K(Q) = \mathcal{F}_l \left( \begin{pmatrix} UV^{-1} & \tilde{V}^{-1} \\ V^{-1} & -V^{-1}N \end{pmatrix}, Q \right) = \mathcal{F}_l(J_K, Q) \quad (12)$$

where (12) is the same for both the right and the left form given in (10) and (11), respectively.

In the same way, it is possible to derive a parameterization in terms of a stable transfer function  $S$  of all systems that are stabilized by one controller, i.e. the dual YJBK parameterization. Using the right form, the parameterization is given by [19]:

$$G_{yu}(S) = (N + VS)(M + US)^{-1}, S \in \mathcal{R} \mathcal{H}_\infty \quad (13)$$

or by using a left factored form:

$$G_{yu}(S) = (\tilde{M} + S\tilde{U})^{-1} (\tilde{N} + S\tilde{V}), S \in \mathcal{R} \mathcal{H}_\infty \quad (14)$$

An LFT representation of (13) or (14) is given by:

$$\begin{aligned} G_{yu}(S) &= \mathcal{F}_l \left( \begin{pmatrix} NM^{-1} & \tilde{M}^{-1} \\ M^{-1} & -M^{-1}U \end{pmatrix}, S \right) \\ &= \mathcal{F}_l(J_G, S) \end{aligned} \quad (15)$$

Further,  $S$  is given by, [19]:

$$S = \mathcal{F}_u(J_K, G_{yu}(S)) \quad (16)$$

The dual YJBK transfer function  $S$  will be a function of the system variations  $\theta$ , i.e.  $S = S(\theta)$ . The connection between  $S$  and  $\theta$  has been considered in details in [7]. Assuming that  $\theta = 0$  is the nominal value of  $\theta$ , then there will exist the following simple relation, [7]:

$$S(\theta) = 0, \text{ for } \theta = 0 \quad (17)$$

This relation will be applied in the following in connection with fault diagnosis.

### III. CONTROLLER IMPLEMENTATION

The implementation of the YJBK parameterization can be done as described in e.g. [8], [9], [14], [19] and the dual implementation in [5]. These implementations include an inversion of  $\tilde{V}$  or  $V$ , respectively. Further, a switch from a nominal controller  $K$  to another controller  $K_i$  through a use of the YJBK transfer function  $Q$  result in a quite complex  $Q$ .

Some of these drawbacks with the normal implementation can be removed by using a new implementation of the YJBK parameterization. The implementation has been described in details in [12]. The implementation is shown in Fig. 1. A dual version is shown in Fig. 2. Both implementations are based on residual vectors,  $\varepsilon$  or  $\tilde{\varepsilon}$  respectively, as described in next section. The two implementations are therefore called for residual based implementations.

$U(Q)$  and  $\tilde{U}(Q)$  are (see (10) and (11)) given by:

$$\begin{aligned} U(Q) &= U + MQ \\ \tilde{U}(Q) &= \tilde{U} + Q\tilde{M} \end{aligned} \quad (18)$$

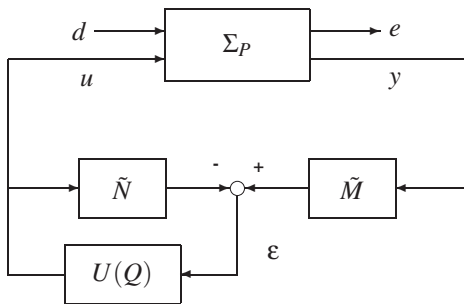


Fig. 1. A residual based implementation of the YJBK parameterization.

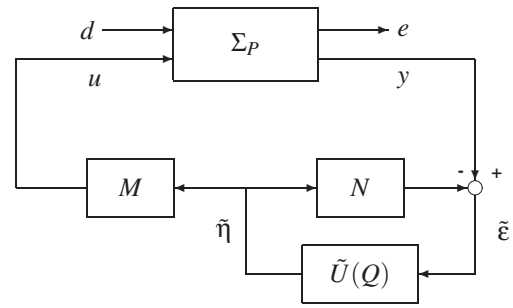


Fig. 2. A dual implementation of the YJBK parameterization shown in Fig. 1.

#### A. Controller Switching

Based on the YJBK parameterization, it is possible to switch from a nominal controller  $K$  to another controller  $K_i$  by a suitable selection of  $Q$ . Assume the existence of a coprime factorization of the system and the new controller

$$\begin{aligned} G_{yu} &= (NZ_i)(MZ_i)^{-1} = N_iM_i^{-1}, \quad Z_i = M^{-1}M_i \\ &= (\tilde{Z}_i\tilde{M})^{-1}(\tilde{Z}_i\tilde{N}) = \tilde{M}_i^{-1}\tilde{N}_i, \quad \tilde{Z}_i = \tilde{M}_i\tilde{M}^{-1} \\ K_i &= U_iV_i^{-1} = \tilde{V}_i^{-1}\tilde{U}_i \end{aligned}$$

which satisfy the double Bezout equation given by:

$$\begin{pmatrix} I & 0 \\ 0 & I \end{pmatrix} = \begin{pmatrix} \tilde{V}_i & -\tilde{U}_i \\ -\tilde{N}_i & \tilde{M}_i \end{pmatrix} \begin{pmatrix} M_i & U_i \\ N_i & V_i \end{pmatrix} = \begin{pmatrix} M_i & U_i \\ N_i & V_i \end{pmatrix} \begin{pmatrix} \tilde{V}_i & -\tilde{U}_i \\ -\tilde{N}_i & \tilde{M}_i \end{pmatrix} \quad (19)$$

Then a switching from  $K$  to  $K_i$  can be obtained by using  $Q_i$  given by ([16]):

$$Q_i = Z_i(\tilde{U}_iV - \tilde{V}_iU) \text{ or } Q_i = (\tilde{V}U_i - \tilde{U}V_i)\tilde{Z}_i \quad (20)$$

in (10) or in (11).

If the residual based implementation in Fig. 1 and Fig. 2 is applied, then it is impossible to reduce the complexity of the implementation of  $Q_i$  significantly. Let  $U(Q)$  in (18) be given by:

$$U(Q_i) = U + \alpha MQ_i$$

where  $K$  is obtained for  $\alpha = 0$  and  $K_i$  for  $\alpha = 1$ . Including  $Q_i$  in  $U(Q)$  gives:

$$U(Q_i(\alpha)) = (1 - \alpha)U + \alpha U_i\tilde{Z}_i \quad (21)$$

Equivalent, using  $\tilde{U}(Q)$  in Fig. 2 gives

$$\tilde{U}(Q_i(\alpha)) = (1 - \alpha)\tilde{U} + \alpha \tilde{Z}_i\tilde{U}_i \quad (22)$$

The equivalent  $Q_i$  is given by

$$Q_i = M^{-1}(U_i\tilde{Z}_i - U) \text{ or } Q_i = (Z_i\tilde{U}_i - \tilde{U})\tilde{M}^{-1} \quad (23)$$

The closed loop transfer function from external input  $d$  to external output  $e$  is given by:

$$\begin{aligned} T_{ed} &= G_{ed} + G_{eu}U\tilde{M}G_{yd} + G_{eu}MQ\tilde{M}G_{yd} \\ &= G_{ed} + G_{eu}U(Q)\tilde{M}G_{yd} \end{aligned} \quad (24)$$





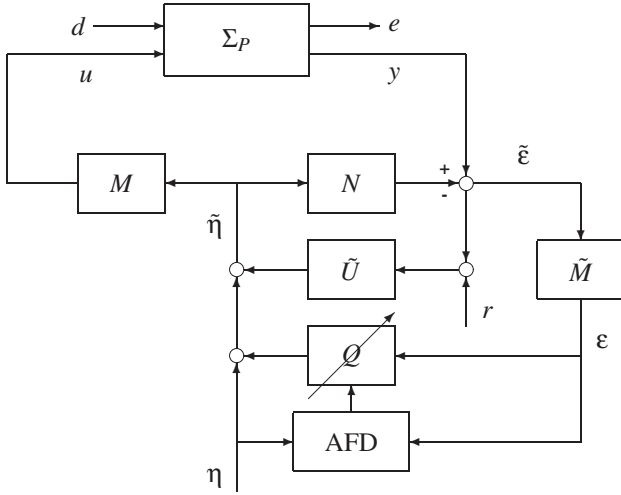


Fig. 4. A set-up for fault tolerant controllers based on the controller implementation in Fig. 2.

changes. It is then simple to switch back to the nominal controller. This can be done by using  $Q = 0$  in the controller.

As pointed out above, the structure of the diagnosis part does not need to be changed when the controller is reconfigured. To see this, let's consider the transfer function from the auxiliary input  $\eta$  to the residual vector  $\varepsilon$ . For  $Q = 0$ , the transfer function is given by:

$$\varepsilon = S(\theta)\eta \quad (28)$$

For  $Q$  non-zero, the transfer function is given by:

$$\varepsilon = S(\theta)(I - QS(\theta))^{-1}\eta = S_{cl}(S(\theta), Q)\eta \quad (29)$$

An important observation is that the condition for fault detection is independent of  $Q$ . I.e.

$$\begin{aligned} S(\theta) &= 0, \quad \text{for } \theta = 0 \\ S_{cl}(S(\theta), Q) &= 0, \quad \text{for } \theta = 0 \end{aligned}$$

This important result has been discussed in more details in [9].

The condition for fault isolation will, in general, depend on the applied  $Q$ . The reason is that the output directions for the signature in  $\varepsilon$  from  $\eta$  depend strongly on the applied feedback controller. As a consequence of this, the test methods in the AFD block need to be modified when the controller is reconfigured. However, this aspect can also be used in a constructive way. In connection with fault isolation, after faults has been detected, it is possible to apply dedicated  $Q$ 's to simplify the isolation of certain critical faults. This can be done by using  $Q$ 's that will give a more significant and unique signature in the residual vector. It is of course required that the applied  $Q$ 's will not destabilize the system. This aspect will not be discussed further in this paper.

## VI. SENSOR RECONFIGURATION

Reconfiguration of both sensors and actuators is a central element in connection with fault tolerant control. When fault has occurred in the system, one possibility might be to switch to a controller based on another sensor and actuator configuration. This includes also system faults and not only faults related to sensors or actuators. It is therefore relevant to consider an extension of the FTC architecture with extra sensors and actuators.

The general YJBK parameterization has been considered in connection with an extension of sensors and actuators in [8]. These results will be used in connection with the new FTC architecture presented in Section V. Only sensor reconfiguration will be described in the following. Actuator reconfiguration can be handled in an equivalent way.

### A. Sensor Faults

First, let's consider the case with sensor faults. This will in general result in a reduction of available sensors. Let the general system description in (1) be described by:

$$\Sigma_{P,\theta} : \begin{cases} e = G_{ed}d + G_{eu}u \\ y = (I + \theta_s)G_{yd}d + (I + \theta_s)G_{yu}u \end{cases} \quad (30)$$

where  $\theta_s$  represent sensor faults. A complete loss of a sensor is described by  $\theta_{s,i} = -1$ . The associated fault signature matrix  $S(\theta_s)$  can be calculated explicit in this case.  $S(\theta_s)$  is given by, [7]:

$$S(\theta_s) = \tilde{M}\theta_s(I - N\tilde{U}\theta_s)^{-1}N \quad (31)$$

The closed loop system is unstable if  $S(\theta_s)$  is unstable. An unstable  $S(\theta_s)$  require a reconfiguration of the feedback controller by in terms of stabilizing  $Q$ .  $Q$  must satisfy

$$(I - QS(\theta_s))^{-1} \in \mathcal{RH}_\infty$$

This result follows directly from the separation result described in [19] and later used in [13], [14], [15] in connection with FTC.

### B. Extension of Sensors

Now, let's consider the general case where the system is extended with additional sensors. Let the parametric faults  $\theta$  in the original system (1) be separated into sensor faults  $\theta_s$  and other faults  $\bar{\theta}$ . I.e.  $\theta = (\theta_s, \bar{\theta})$ . Further, let  $\theta_x$  represent sensor faults in the additional sensors. Extending the general system in (1) with extra sensors will result in the following system:

$$\Sigma_{P,\text{ext}} : \begin{cases} e = G_{ed}(\theta)d + G_{eu}(\theta)u \\ y_{\text{ext}} = G_{yd,\text{ext}}(\theta, \theta_x)d + G_{yu,\text{ext}}(\theta, \theta_x)u \end{cases} \quad (32)$$

with

$$\begin{aligned}
 y_{\text{ext}} &= \begin{pmatrix} y \\ y_s \end{pmatrix} \\
 G_{yd,\text{ext}}(\theta, \theta_x) &= \begin{pmatrix} G_{yd}(\theta) \\ G_{yd,s}(\bar{\theta}, \theta_x) \end{pmatrix} \\
 &= \begin{pmatrix} G_{yd}(\theta) \\ (I + \theta_x) G_{yd,s}(\bar{\theta}) \end{pmatrix} \\
 G_{yu,\text{ext}}(\theta, \theta_x) &= \begin{pmatrix} G_{yu}(\theta) \\ G_{yu,s}(\bar{\theta}, \theta_x) \end{pmatrix} \\
 &= \begin{pmatrix} G_{yu}(\theta) \\ (I + \theta_x) G_{yu,s}(\bar{\theta}) \end{pmatrix}
 \end{aligned}$$

The index  $s$  indicates the extra sensors. It has been shown in [8] that the coprime matrices have the following structure:

$$\begin{pmatrix} M_{\text{ext}} & U_{\text{ext}} \\ N_{\text{ext}} & V_{\text{ext}} \end{pmatrix} = \begin{pmatrix} M \\ N \\ N_1 \end{pmatrix} \begin{pmatrix} U & 0 \\ V & 0 \\ V_1 & I \end{pmatrix}$$

$$\begin{pmatrix} \tilde{V}_{\text{ext}} & -\tilde{U}_{\text{ext}} \\ -\tilde{N}_{\text{ext}} & \tilde{M}_{\text{ext}} \end{pmatrix} = \begin{pmatrix} \tilde{V} \\ -\tilde{N} \\ -\tilde{N}_1 \end{pmatrix} \begin{pmatrix} -\tilde{U} & 0 \\ \tilde{M} & 0 \\ \tilde{M}_1 & I \end{pmatrix} \quad (33)$$

The above structure can always be obtained by using the state-space description for general controllers given in [19].

If the above coprime matrices are included in the dual controller implementation in Fig. 2, the extended implementation shown in Fig. 5 emerge. Here the YJBK transfer function for the extended system is given by:

$$Q_{\text{ext}} = \begin{pmatrix} Q & Q_1 \end{pmatrix}$$

where  $Q_1$  is the transfer function due to the system extension.

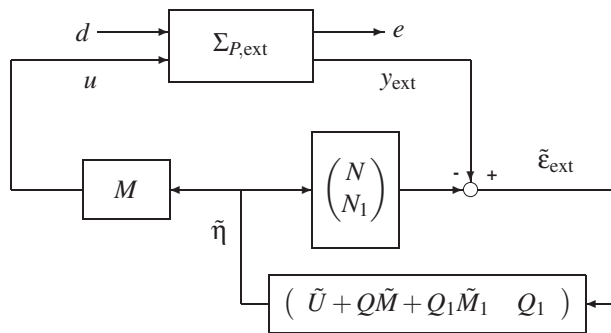


Fig. 5. A residual based implementation of the YJBK parameterization for a system with additional sensors.

## VII. CONCLUSION

A fault tolerant controller set-up based on a new implementation of the YJBK parameterized feedback controllers is described. This new controller implementation result in a simple method for controller reconfiguration. Further, it will also allow letting the FTC set-up be based on the YJBK parameterization in the right coprime form. Both fault

diagnosis as well as controller reconfiguration are based on the same set of input and output vectors.

The problem of changing sensors in connection with controller reconfiguration is also considered. The case of changing actuators can be handled in the similar way. A change of sensors and actuators is relevant in connection with faults, where a controller for the faulty system might be based on other sensors and actuators. This is special relevant in connection with sensor and actuator faults.

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